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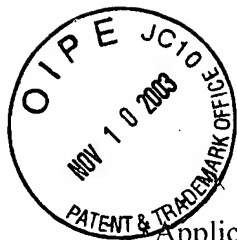
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Klaus Hohn et al. Art Unit : Unknown
Serial No. : 10/623,819 Examiner : Unknown
Filed : July 21, 2003
Title : WAVELENGTH-CONVERTING CASTING COMPOSITION AND WHITE
LIGHT-EMITTING SEMICONDUCTOR COMPONENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Copies of the references listed on the attached form PTO-1449 are enclosed.

Under 35 USC §120, this application relies on the earlier filing date of application serial number 09/654,368, filed on September 1, 2000. All of the listed references were submitted to and/or cited by the Office in the prior application and, therefore, are not provided in this application. All of the references that are listed were checked off and initialed as considered by Examiner C. Melissa Koslow in the parent application.

As noted at the interview with Examiner Koslow on November 28, 2000 in related application U.S.S.N. 09/650,932, the documents filed in proceedings in Japan were filed with respect to Japanese patent 2,927,279 (Ref. AO; English translation enclosed as Ref. CR), which is related to Shimizu et al. U.S. Patent No. 5,998,925, cited in the office action herein. The Japanese patent claims priority from three of the five Japanese applications on which the U.S. patent claims priority. In particular, in a Demand for Trial (English translation enclosed as Ref. CK) filed by the assignee of the present application, it was asserted that the claims of the Japanese patent were invalid. The Japanese patent owner filed a Written Reply (English translation enclosed as Ref. CL). A translation of the Preliminary Decision is enclosed as Ref. AAJ. The Demand for Trial includes English language discussion of the Japanese references

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

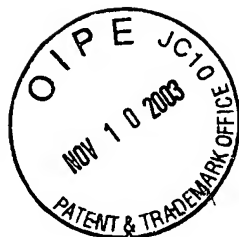
November 6, 2003

Date of Deposit

Signature

Jennifer Leveille

Typed or Printed Name of Person Signing Certificate



cited therein. Many of the references were directed to the use of epoxy and to the particular luminescent material claimed in Japan, namely $(RE_{1-x}Sm_x)_3(Al_yGa_{1-y})O_{12}:Ce$. The independent claims 1 and 6 at issue are set forth and described at pages 2-5 of the Demand for Trial. The relevance of the Japanese language documents is that they are described in the Demand for Trial and the Written Reply. The following chart identifies the page numbers of the Demand for Trial and Written Reply at which the individual references are discussed.

IDS Ref.	Jap. Ref.	pages discussed in Demand for Trial (DT) and Written Reply (WR)
AB	A-3	DT:7, 24; WR:13-14, 16-17, 20-22
AC	A-4	DT:7-11, 26, 27, 30; WR:8, 10, 11, 12, 19, 20, 21-22
AD	A-5	DT:11-13, 26, 27, 30, 31; WR:12, 22
AE	A-6	DT:13-14, 26, 30; WR:22
AF	A-7	DT:14, 26, 30; WR:22
AG	A-8	DT:14-15, 26, 30, 31; WR:22
CM	A-9	DT:15, 28; WR:14, 22
CN	A-10	DT:15, 29; WR:14-15, 22
AH	A-11	DT:16, 29; WR:15-16, 22
AI	A-12	DT:16-17, 29; WR:16, 22
AJ	A-13	DT:17, 29; WR:22
AK	A-14	DT:18-19, 30-31; WR:12-13, 22
AL	A-15	DT:19, 26, 27, 30, 32; WR:12-13, 22
AM	A-16	DT:19, 26, 27, 30, 31; WR:12-13, 22
AN	A-17	DT:19; WR: 17, 22
CQ	A-18	DT:20, 28
AP	A-20	DT:20, 32, 33; WR:20-21, 23
CO	A-21	DT:20, 33; WR:23
CP	A-22	DT:20, 37; WR:26-27
EF	A-23	DT:20, 34
EG	A-24	DT:20-21, 34

EH	A-25	DT:21, 34
EI	A-26	DT:21, 34

The Japanese Evidence included A-1, A-2, A-19, A-27 to A-30, which documents have not been included herewith for lack of relevance. These are included in the list of evidence at pages 40-41 of the Demand for Trial. These documents will be made available upon request. A-1 and A-2 are a German language affidavit and expert opinion discussed at DT:5-6, 24; WR:8 and DT:6-7, 22, 24, respectively. A-19 is a reason for rejection in the Japanese Patent and is discussed at DT:20, 28. A-27 and A-28 are amendments in the Japanese Patent and are discussed at DT:21, 34. A-29 is the Japanese publication of WO 98/12757, and A-30 is a certificate related thereto, as discussed at DT:21, 38, 39; WR:27 and DT:21, 38, respectively.

This statement is being filed with the application. Please apply any charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: _____

Nw 6, 2003

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Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-007002	Application No. 1107623,819
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Klaus Höhn et al.	
		Filing Date July 21, 2003	Group Art Unit

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AB	49-1221		Japan				
	AC	5-152609		Japan			X	
	AD	7-99345		Japan			X	
	AE	54-41660		Japan				
	AF	52-45181		Japan				
	AG	49-112577		Japan				
	AH	50-43913		Japan			X	
	AI	47-17684		Japan				
	AJ	46-7462		Japan				
	AK	4-63162		Japan				
	AL	5-63068		Japan				
	AM	59-50455		Japan				
	AN	8-7614		Japan			X	
	AO	2,927,229		Japan			X	
	AP	4-63163		Japan				
	AQ	1,332,462		Great Britain				
	AR	63-280467		Japan			X	
	AS							
	AT	G9013615.2		Germany				
	AU	0486052A1		EP				
	AV	2835184C2		Germany				
	AW	1,589,964		Great Britain				
	AX	2053953		Great Britain				
	AY							

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in next communication to applicant.	

Substitute Form PTO-1449
(Modified)U.S. Department of Commerce
Patent and Trademark Office

Attorney's Docket No.

12406-007002

Application No.

10/623,819

**Information Disclosure Statement
by Applicant**

(Use several sheets if necessary)

Applicant

Klaus Höhn et al.

Filing Date

July 21, 2003

Group Art Unit

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	BA	4,495,514	Jan 22, 1985	Lawrence et al			
	BB	4,734,619	Mar 29, 1988	K. Havel			
	BC	5,369,289	Nov 29, 1994	Tamaki et al			
	BD	5,602,418	Feb 11, 1997	Imai et al			
	BE	5,652,438	Jul 29, 1997	Sassa et al			
	BF	5,656,832	Aug 12, 1997	Ohba et al			
	BG	5,670,798	Sept 23, 1997	J. Schetzina			
	BH	3,699,478	Oct 12, 1972	Pinnow et al			
	BI	4,298,820	Nov 3 1981	Bongers et al			
	BJ	4,727,283	Feb 23, 1988	Van Kemenade et al			
	BK	3,453,604	Jul 1, 1969	Geusic et al			
	BL						
	BM	3,654,463	Apr 4, 1972	Geusic et al			
	BN	3,819,974	Jun 25, 1974	Stevenson et al			
	BO	3,942,185	Mar 2, 1976	J. Lebailly			
	BP	4,146,790	Mar 27, 1979	Goetzberger et al			
	BQ	3,691,482	Sept 12, 1972	Pinnow et al			
	BR	3,573,568	Jun 18, 1969	Harvey V. Siegel			
	BS	4,262,206	Apr 14, 1981	Viehmann			
	BT	4,173,495	Nov 6, 1979	Rapp et al			
	BU	3,510,732	May 5, 1970	Robert L. Amans			
	BV	3,529,200	Sept 15, 1970	Ralph M. Potter			
	BW	5,471,113	Nov 28, 1995	DeBacker et al			
	BX	4,716,337	Dec 29, 1987	Huiskes et al			
	BY	4,550,256	Oct 29, 1985	Berkstresser et al			
	BZ	6,078,063	Jun 20, 2000	Nakamura et al			
	BAA						

Examiner Signature

Date Considered

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U.S. Department of Commerce
Patent and Trademark Office

Attorney's Docket No.

12406-007002

Application No.

10/623,819

**Information Disclosure Statement
by Applicant**

(Use several sheets if necessary)

Applicant

Horn et al.

Filing Date

July 21, 2003

Group Art Unit

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate	
	CA	5,184,114	Feb 2, 1993	Brown				
	CB	4,818,983	Apr 4, 1989	Hara et al				
	CC	4,431,941	Feb 14, 1984	Roy et al				
	CD	4,599,537	Jul 8, 1986	Yamashita				
	CE	5,035,513	Jul 30, 1991	Fehrenbach et al				

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	CF							
	CG							
	CH							
	CI							
	CJ							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	CK	
	CL	
	CM	
	CN	
	CO	Siemens Components 29.7/8 1991, pp. 147-149
	CP	Drafts of the Society for the Study of Fluorescent Materials, pp. 5-14
	CQ	Decision on Trial 11520/90 concerning JP5-152609
	CR	
	CS	Applied Physics Letters, "Candela-class high-brightness InGaN/AlGaIn double-heterostructure blue-light-emitting diodes", March 28, 1994, 64 (13), pp.1687-1689
	CT	J. Applied Physics, "Large-band gap SiC, III-V nitride, and II-VI Zn-Se-based semiconductor device technologies", August 1, 1994, 76 (3), pp.1363-1398
	CU	J. Vac. Sci. Technol., InGaN/AlGaIn blue-light emitting diode", May/June 1995, A13 (3), pp. 705-710

Examiner Signature

Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 C.F.R. § 1.98(b))	U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 12406-007002	Application No. 10/623,819
	Applicant Klaus Höhn et al.			
	Filing Date July 21, 2003		Group Art Unit	

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	DA	
	DB	Physical Review, "Frequency Upconversion in $\text{YF}_3:\text{Yb}^{3+}$, Tm^{3+} ", April 15, 1971, B3 (8), pp. 2698-2705
	DC	J. Applied Physics, "Efficiency of Red, Green, and Blue Infrared-to-Visible Conversion Sources", April 1971, pp. 1958-1960
	DD	English abstract of Japanese Laid-open Patent 10-179471, July 17, 1989
	DE	
	DF	English abstract of Japanese Laid-open 07-099345, April 11, 1995
	DG	
	DH	Translation of Japanese Laid-open Patent 08-7614, January 12, 1996
	DI	Osinski, Marek, AlGaIn/GaN blue light emitting diode degradation under pulsed current stress, Applied Physics Letter. August 12, 1996, pp. 898-900
	DJ	
	DK	D.J. Robbins: "The Effects of Crystal Field and Temperature on the Photoluminescence Excitation of Ce^{3+} in YAG", J. Electrochem. Soc.: Solid State Science and Technology 1979, Vol. 126, No. 9, pp. 1550-1555
	DL	Glen A. Slack et al.: "Optical Absorption of $\text{Y}_3\text{Al}_5\text{O}_{12}$ from 10- to 55000-cm Wave Numbers", Physical Review, vol. 177, No.3, January 15, 1969, pp. 1308-1314
	DM	Shuji Nakamura et al.: "The blue laser diode: GaN based Light emitters and lasers", Springer Verlag, Berlin, 1997, pp. 216-219, 328
	DN	G.. Blasse et al.: "A New Phosphor for Flying-Spot Cathode-Ray Tubes for Color Television: Yellow Emitting $\text{Y}^3\text{Al}_5\text{O}_{12}-\text{Ce}_3^+$ ", Applied Physics Letter, Vol. 11, No. 2, 15, pp. 53, 54
	DO	
	DP	B.M.J. Smets: "Phosphors Based On Rare-Earths, A New Era in Fluorescent Lighting", Materials Chemistry and Physics, 16 (1987), pp.283-299
	DQ	
	DR	Cheo et al.: "White Light Emitting glasses", Journal Solid State Chemistry, 1991, pp. 17-29
	DS	Sato et al.: "Full-Color.....Diode", Jap. J. Applied Physics, Vol. 35, (1996), pp. L838-L839
	DT	Siemens Forsch. - Entwickl. - Ber. Bd (1997), No. 3, p. 162 [Siemens Research and Development Reports], Vol. 6
	DU	S.N. Mohammad et al.: "emerging gallium Nitride Based Devices", Proceeding of the IEEE, Vol. 83, No. 10, October 1995, pp. 1306-1355

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449

U.S. Department of Commerce
Patent and Trademark Office

Attorney's Docket No.

12406-007002

Application No.

10/623,819

**Information Disclosure Statement
by Applicant**

(Use several sheets if necessary)

Applicant

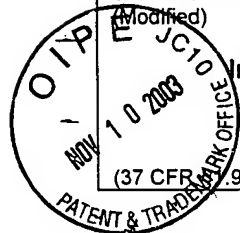
Klaus Höhn et al.

Filing Date

July 21, 2003

Group Art Unit

(37 CFR 1.98(b))

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	EA							
	EB							
	EC							
	ED							
	EE							
	EF	198585/1996		Japan (translation only)			X	
	EG	244339/1996		Japan (translation only)			X	
	EH	245381/1996		Japan (translation only)			X	
	EI	359004/1996		Japan (translation only)			X	
	EJ	0936682	08/18/1999	EP				

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	EL	5,019,746	May 28, 1991	Merg			
	EM	5,120,214	June 30, 1992	Tokarlin			
	EN	3,593,055	July 13, 1971	Geusic			
	EO	5,535,230	July 9, 1996	Abe			
	EP	3,932,881	Jan 13, 1976	Mita			
	EQ	5,959,316	Sept 28, 1999	Lowery			
	ER						

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	ES	Translation of Japanese Laid-open Patent 50-43913, April 21, 1975

Examiner Signature

Date Considered

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Substitute Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR 1.98(b))	Attorney's Docket No. 12406-007002	Application No. 10/623,819
	Applicant Klaus Höhn et al.	
	Filing Date July 21, 2003	Group Art Unit

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AAA	5,744,233	04/28/1998	Opitz et al.	428	328	

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AAB	2-138361	05/28/1990	Japan			Yes	
	AAC	49-24355	03/04/1974	Japan			Yes	
	AAD	64-071053	03/16/1989	Japan			Yes	
	AAE							
	AAF							

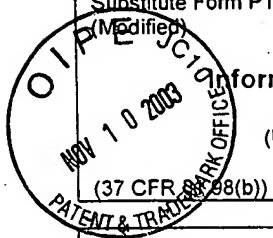
Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AAG	Hakkoutai Dougaku-Kai (ed.), "Keikoutai Handbook" (Handbook on Fluorescent Materials), 1 st edition, published December 25, 1987, pp. 275-277.
	AAH	Nikkei Sangyou Shimbun (Nikkei Industrial Newspaper), September 13, 1996, first sheet, "White LED lamps"
	AAI	Translation of June 5, 2001 Office Action in Japanese Patent Application 10-514190.
	A AJ	Preliminary Decision on Demand for Trial of JP 2,927,279

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Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not consid red. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-007002	Application No. 10/623,819
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Klaus Höhn et al.	
		Filing Date July 21, 2003	Group Art Unit



U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						

Foreign Patent Documents or Published Foreign Patent Applications

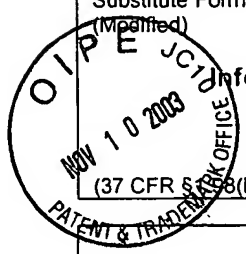
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AF							
	AG	JP 2-91980	03/1990	Japan	33	00	Yes	
	AH							
	AI							
	AJ							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AK	Product Information - Philips Lighting, Fluorescent Powder, 1990
	AL	
	AM	Translation of the newspaper "Nikkei Sangyo Shimbun", issued on September 13, 1996, <u>White-LED Lamp Efficient Light Emission Half a Production Cost</u> , Nichia Chemical
	AN	"Phosphor Handbook", Ohm 1987, S. 166-175, 268-276.
	AO	
	AP	
	AQ	
	AR	
	AS	

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified) U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-007001		Application No. 10/623,819
	Applicant Klaus Höhn et al.		
	Filing Date July 21, 2003	Group Art Unit	



**Information Disclosure Statement
by Applicant**
(Use several sheets if necessary)

(37 CFR 1.98(b))

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	B AA						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	B AB							
	B AC							
	B AD							
	B AE	6-69546	03/11/1994	Japan			X	
	B AF	11-220174	08/10/1999	Japan			X	

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	B AG	English Translation of Japanese 01175103 A, July 11, 1989.
	B AH	English Translation of Japanese 01260707 A, October 18, 1989.
	B AI	Phosphor Handbook, English Translation of (BAJ)
	B AJ	"Phosphor Handbook", Ohm 1987, pp. 275-276, 383.
	B AK	
	B AL	
	B AM	"Phosphor and Emitter", Osram GmbH, June 1997.
	B AN	
	B AO	
	B AP	English Translation of Japanese Patent Application No. 018010, Filed March 31, 1997, Nichia Chemical Industries Ltd.

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449

U.S. Department of Commerce
Patent and Trademark Office

Attorney's Docket No.

12406-007002

Application No.

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Klaus Höhn et al.

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Group Art Unit

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	C AA						
	C AB						
	C AC						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	C AD							
	C AE							
	C AF							
	C AG							
	C AH							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	C AI	
	C AJ	
	C AK	English translation of Nikkei electronics, September 23, 1996, no. 671, "Nichia Chemical starts the sample shipment of white Light Emitting Diode".
	C AL	
	C AM	Schlotter, P. et al., "Luminescence conversion of blue light emitting diodes", <i>Applied Physics A</i> , vol. 64, February 27, 1997, pp. 417-418.
	C AN	
	C AO	
	C AP	Material Safety Data Sheet, pp. 1 and 2, and Lamp Phosphor Data Sheet of Phosphor NP-204 of Nichia Corporation.
	C AQ	
	C AR	
	C AS	
	C AT	

Examiner Signature

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(Modified)U.S. Department of Commerce
Patent and Trademark OfficeAttorney's Docket No.
12406-007002

Application No.

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(Use several sheets if necessary)

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Group Art Unit

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	D AA	5,998,925	12/1999	Shimizu et al.	313	503	
	D AB	6,066,861	05/2000	Hohn et al.	257	99	
	D AC	5,707,549	01/1998	Matsukiyo et al.	252	301.4R	
	D AD						
	D AE						
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	D AG						
	D AH						
	D AI						
	D AJ						
	D AK						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	D AL	JP 7-176794	04/1998	Japan				
	D AM	WO 98-12757	03/1998	WIPO				
	D AN	90 13 615.2	01/1991	Germany				X
	D AO	38 04 293 A1	08/89	Germany				X
	D AP	26 42 465	03/1978	Germany				X
	D AQ	0 039 017 B1	11/1981	Europe				X
	D AR	07-176794	07/1995	Japan				X
	D AS	9-73807	03/1997	Japan			X	
	D AT							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	
	D AU	Translation of Proceedings of 264 th Institute of Phosphor Society, "Development and Application of High Bright White LED Lamps", Nov. 29, 1996, pg's. 5-14. (previously submitted)

Examiner Signature

Date Considered

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Substitute Form PTO-1449
(modified)U.S. Department of Commerce
Patent and Trademark OfficeAttorney's Docket No.
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Application No.

10/623,819**Information Disclosure Statement
by Applicant**

(Use several sheets if necessary)

(37 CFR 1.98(b))

Applicant

Klaus Hohn et al.

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Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	
	D AV	Translation of Japan 52-40959 (previously submitted)

Examiner Signature

Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.